



Inspection

CIVIL AIR PATROL COMPLIANCE ASSESSMENT PROGRAM

This regulation provides an explanation of the procedures used in the conduct of CAP unit inspections, staff assistance visits (SAVs), subordinate unit inspections (SUIs), and self-assessment programs. It establishes procedures and provides guidance regarding the responsibility of unit commanders in processing and replying to inspection and SAV reports. **Note: Shaded areas identify new or revised material.**

SUMMARY OF CHANGES.

This change combines Subordinate Unit Inspections and Short-notice Inspections previously required by CAPR 60-2. It also adds requirements for financial reviews prior to region/wing inspections, further delineates assessment program responsibilities, and implements the use of electronic means to fulfill reporting requirements.

1. Scope. The Bylaws of the Civil Air Patrol, Sections 10 and 23, and the Statement of Work for the Civil Air Patrol authorize the assessment of CAP units.

a. Items subject to review include, but are not limited to the following:

1) Implementation of policies, procedures, and regulations established by the Board of Governors, the Air Force, the National Executive Committee, the National Board, and National Headquarters.

2) Management of personnel, corporate resources, and CAP programs.

3) Compliance with CAP directives to include acquisition, control, use, and disposition of Department of Defense (DoD) excess property.

4) Financial management and controls, accounting, and general fiscal responsibility.

b. The following assessments are **not** covered under this regulation:

1) Safety surveys conducted in accordance with CAPR 62-1, *CAP Safety Responsibilities and Procedures*.

2) Survey audits conducted in accordance with CAPR 67-1, *CAP Supply Regulation*.

2. Responsibilities.

a. Commanders: This is a commander's program. Commanders at each level, with the support of their Inspectors General, are ultimately responsible for the success of this program.

b. Members: CAP members involved in the CAP programs are responsible for understanding and complying with CAP directives and ensuring all programs are performed in a safe manner. Safety and security is everyone's direct responsibility.

c. Inspectors General and assessment team members: It is the responsibility of Inspectors General at all levels, as well as members of IG assessment teams, to take immediate action (up to and including stopping operations) to prevent personal injury, damage to equipment, or the release of classified information should a potential/actual safety issue or security violation be observed.

3. Definitions:

a. Assessment. Review of a unit's management, mission accomplishment and regulatory compliance programs. This review may be a graded evaluation (inspection) or a non-graded SAV.

b. Benchmark Candidate. The best of the best processes observed and researched to date by the assessment team to be considered for emulation by other units.

c. Commendable Item. A highly effective concept, technique, or management practice not observed in other units or significantly better than those found in other units.

d. Finding. A significant deficiency that requires specific answers to CAP/IG and CAP-USAF/IG for wing compliance inspections or submitted to the assessing agency that completed the SAV or SUI, on actions taken to correct the

deficiency. In an assessment report, a finding is identified by either a single asterisk (*) or, if a potential for Fraud, Waste, and Abuse (FWA) exists, a double asterisk (**).

e. Higher Headquarters Item. Any observation or finding that requires action from a higher level to resolve. These items will be identified in the appropriate tab of the assessment report.

f. Inspection. Graded evaluation intended to determine the effectiveness of unit management, mission accomplishment and regulatory compliance programs.

g. Inspection Guide. A guide developed jointly by CAP/IG and CAP-USAF/IG, with the approval of the Executive Director (CAP/EX), National Commander (CC), and CAP-USAF/CC, for use by assessment teams in the evaluation of region or wing headquarters. This guide may also be used by regions and wings to conduct self-assessment programs for their respective headquarters. Separate inspection guides will be developed to assess special mission units.

h. Observation. A minor deficiency documented to place emphasis on the need for resolution before it develops into a more serious problem, to provide crossfeed to other units, or to act as an indicator of overall unit health.

i. Open Item. An finding from a prior assessment in which the unit or higher headquarters' corrective actions are incomplete and have not been closed by the CAP and CAP-USAF IGs or the assessing agency. Open items are not repeat findings.

j. Major Emphasis Item (MEI). An area or function requiring particular assessment emphasis. MEIs are designated by the National Commander, Executive Committee, or the NEC to ensure review of issues critical to the success of the CAP mission, safety, etc.

k. Repeat Finding. A finding reported in the unit's previous inspection, survey audit, or SAV report, which was subsequently closed, which exists again during the current assessment. Repeat findings are answerable.

l. Self-Assessment (SA). An inspection conducted by a unit, at any level, to evaluate its own directorates and/or programs using an appropriate level assessment guide.

m. Staff Assistance Visit (SAV). Ungraded assessment by higher headquarters and/or CAP-USAF liaison region (LR) personnel intended to provide assistance in improving mission effectiveness. Findings may still be a part of this assessment.

n. Subordinate Unit Inspections (SUI). Inspections established by either CAP regions or wings to evaluate the management and mission capability of units below the wing level.

o. Subordinate Unit Inspection Guide. A guide developed jointly by CAP/IG and CAP-USAF/IG for use in assessing units below the wing level.

4. Inspection Frequency and Scheduling:

a. CAP/IG and CAP-USAF/IG will inspect each CAP wing approximately every 48 months. CAP-USAF/LRs are requested to conduct a SAV on each CAP wing in their respective region every 48 months. Ideally, this SAV will occur 9 to 15 months prior to the next scheduled CAP/IG-CAP-USAF/IG inspection. The inspection guide will be revised at least annually, and will be distributed far enough in advance for the inspected wing to prepare.

b. CAP/IG and CAP-USAF/IG will jointly publish an updated schedule of inspections no later than 1 June and 1 December of each year. The schedule should project plans as far into the future as practicable. At least the first 12 months of the schedule will reflect specific inspection dates with the remainder showing the month and year of the proposed inspection. The appropriate region/wing commander(s) is responsible to advise the CAP/IG of problems or conflicts with the proposed inspection schedule far enough in advance to allow for travel and other planning to occur, but not later than 3 months prior to the scheduled inspection.

c. CAP-USAF/LRs should publish an updated SAV schedule for their respective wings no later than 1 July and 1 January of each year. SAV schedules should project plans for at least the next 12 months.

d. Additional or follow-up inspections or SAVs may be scheduled as necessary.

e. Subordinate Unit Inspections (SUIs) will be scheduled in accordance with paragraph 11.

f. Any CAP wing receiving an overall marginal grade during an inspection should receive a SAV by the LR within 180 days of receiving the inspection report. If the grade was safety related, the LR should conduct the SAV within 30 to 60 days of receiving the inspection report, with follow-up as necessary.

g. Any CAP wing receiving an overall unsatisfactory grade during an inspection should receive another joint inspection by the CAP/IG and CAP-USAF/IG within 180 days of receiving the inspection report.

h. CAP region/wing commanders may request additional inspections through coordination with the CAP/IG. The CAP/IG will, in turn, coordinate the request with the appropriate CAP-USAF office(s).

i. All CAP units, programs, and resources are subject to short notice assessments at the discretion of the Board of Governors, CAP/CC, CAP/EX or CAP-USAF/CC.

5. Notification of Assessment. CAP units to be assessed will be notified in writing by the assessing agency approximately 30 days in advance, except for a short notice assessment. The notice will include:

- a. The estimated date of arrival and duration.
- b. The purpose and scope of the assessment.
- c. Additional information that will enable the commander to prepare for and expedite the assessment.
- d. Any special requirements or requests.

6. The Compliance Inspection/SAV:

a. The compliance inspection or SAV team chief will provide all details pertinent to the visit in the 30-day notification, except for short notice assessments. A formal in-brief is desired, but is not required.

b. A Wing Financial Analyst (WFA) will complete a financial review of each region/wing to be inspected approximately 2 to 20 days prior to the scheduled inspection using a checklist supplied by the CAP Chief Financial Officer (NHQ CAP/FM) and approved by the CAP/EX. The WFA will forward a report of that review to the CAP Inspector General Administrator (NHQ CAP/EXI) prior to the first day of the scheduled inspection.

c. CAP wing commanders will provide unit details and data, IAW attachment 1, to the assessing unit's point of contact (POC) at least 7 days prior to the assessment. In case of back-to-back assessments, the notification letter will specify a compliance date for meeting this requirement to ensure receipt at least 10 days prior to the team departing headquarters.

d. Inspections and SAVs comprise items contained primarily in published inspection guides, but may include, as necessary and determined pertinent to CAP mission accomplishment by the headquarters staff: CAP Corporate policy and guidance; Air Force, Air Education and Training Command, Air University, CAP, and CAP-USAF directives and instructions; functional area checklists.

e. All wing directors should be present for wing inspections and SAVs. Should a director be unavailable, someone knowledgeable in his/her functional area must represent the absent director. Any wing files and/or documentation must also be available for inspection.

f. At the conclusion of an inspection, the team chief will provide an out-briefing including overall grade, individual area grades, observations, findings, repeat findings, FWA items, major emphasis items, commendable items, and benchmark candidates.

g. At the conclusion of a SAV, the team chief should provide an out-briefing to include strengths, weaknesses, and recommendations for each functional area. Grades will not be assigned.

h. In the interest of progress through assistance, special effort should be made during a SAV, time and resources permitting, to train functional experts, on the spot, to a level of expertise where a discrepancy may be corrected and reported as an observation versus a finding.

7. Assessment Grade Definitions:

a. **Outstanding.** Performance or operation far exceeds mission requirements. Procedures and activities are carried out in a far superior manner. Resources and programs are very efficiently managed and are of exceptional merit. Few, if any, deficiencies exist.

b. **Excellent.** Performance or operation exceeds mission requirements. Procedures and activities are carried out in a superior manner. Resources and programs are very efficiently managed and relatively free of deficiencies.

c. **Satisfactory.** Performance or operation meets mission requirements. Procedures and activities are carried out in an effective and competent manner. Resources and programs are efficiently managed. Minor deficiencies may exist but do not impede or limit mission accomplishment.

d. **Marginal.** Performance or operation does not meet some mission requirements. Procedures and activities are not carried out in an efficient manner. Resources and programs are not efficiently managed. Deficiencies exist that impede or limit mission accomplishment.

e. **Unsatisfactory.** Performance or operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner. Resources and programs are not adequately managed. Significant deficiencies exist that preclude or seriously limit mission accomplishment or endanger personnel or resources.

8. Reports:

a. A written report will be prepared for each assessment using the current joint CAP/IG and CAP-USAF/IG report format available on the NHQ web page. Assessment reports will consist of the following sections:

1) **Section I** - Includes the purpose and scope, executive summary, overall assessment, administrative details, team composition, and reply instructions for findings.

2) **Section II** - Includes the assessment details. Each functional area, such as command, administration, aerospace education, etc., is addressed to include observations, findings and recommended corrective action when not self-explanatory. Previously identified inspection, SAV and/or MEI discrepancies that have not been corrected will also be addressed. For inspections, each functional area will receive a grade in this section. Grades will not be given for SAVs.

3) **Section III** - Lists the report distribution.

b. Disclaimer. All inspection and SAV reports, and associated correspondence containing discrepancy reporting, will include the following statement:

"This is a PRIVILEGED DOCUMENT that cannot be released in whole or part to persons or agencies outside the Civil Air Patrol or USAF, nor can it be republished in whole or part in any publication not containing this statement, including the Civil Air Patrol magazines and general use pamphlets, without the express approval of the Executive Director of the Civil Air Patrol and CAP-USAF Commander."

9. Report Processing.

a. Region/ Wing Inspections:

1) CAP/CC, CAP/EX and CAP-USAF/CC will each accomplish a final review of all inspection reports.

2) Two printed copies of the inspection report will be forwarded to the unit approximately 30 days after completion of the inspection. Approximately 2 days after this final report is mailed an electronic version will be sent to the inspected wing's region commander, or to the National Commander if the inspected unit was a region headquarters.

3) All other copies will be distributed electronically once confirmation is received that the inspected unit has received the mailed copies.

4) The inspected region/wing will forward a reply to all findings to the CAP Inspector General Administrator (NHQ CAP/EXI) with information copies to CAP region/CC and CAP-USAF/LR. The CAP/IG and/or CAP-USAF/IG will forward, electronically, a Finding Log form to the inspected region/wing after the region/wing has acknowledged receipt of the report. The region/wing will enter replies to all findings in the appropriate place on the log and will forward the log to NHQ CAP/EXI either electronically, by FAX or by mail. The initial reply to findings will be submitted within 90 days (60 days for safety related findings) of receipt of the Inspection report. Submit progress updates every 60 days thereafter on all open responses until each finding is closed by the CAP/IG and CAP-USAF/IG. Units that fail to close findings in a timely manner may be subject to Headquarters administrative action.

5) NHQ CAP/EXI will coordinate responses to the inspected region/wing's replies with the responsible National Headquarters office, as appropriate. NHQ CAP/EXI will then forward the CAP and CAP-USAF/IGs' responses to the inspected region/wing.

6) When all corrective actions are considered adequate, a close-out letter will be forwarded to the inspected unit jointly by CAP/CC and CAP-USAF/CC. Wing/region commanders not correcting all findings within 14 months could face disciplinary action including demotion and removal from command.

b. SAVs:

1) Two copies of the SAV report are furnished to the evaluated unit approximately 30 days after completion of the visit. Information copies are provided the respective CAP region commander and state liaison office and to the CAP/IG and CAP-USAF/IG. An electronic copy, preferable in Microsoft Word, will be forwarded to NHQ CAP/EXI.

2) Replies of corrective action(s) to deficiencies are submitted to the assessing agency that completed the SAV. Use attachment 2, or an electronic format supplied by the assessing agency, as a format for replying to SAV deficiencies.

3) When all deficiencies are corrected, the appropriate LR will issue a SAV close-out letter to the assessed unit, with copies to the CAP Region/IG, CAP/IG and CAP-USAF/IG.

10. Maintenance and Disposition of Inspection and SAV Reports. CAP units will maintain reports and applicable correspondence until issuance of the next assessment report, i.e., inspection or SAV.

11. Subordinate Unit Inspections (SUIs). Each CAP wing will establish an inspection program for its subordinate units modeled after the wing inspection program outlined in this regulation.

a. The wing IG will administer the SUI program and is responsible for all SUIs conducted below the wing level.

b. SUIs are to be conducted on an approximate 24-month cycle with the purpose of improving both safety and regulatory compliance. Any excess interval between SUIs beyond 24 months will be subtracted in computing the next SUI due date. Any unit that exceeds 27 months without a completed SUI will be prohibited from participating in any CAP activities until an SUI is completed. Waivers to exceed the 27-month maximum without restrictions being placed on the unit must be approved by the CAP/IG and the CAP-USAF/IG.

c. A schedule of SUIs should be published as far in advance as possible.

d. Wings may choose to conduct all SUIs for units within their wing, may conduct SUIs of groups and delegate squadron SUIs to the group, or may arrange SUI responsibility by other plans appropriate to the wing's organizational structure.

e. The region/wing inspector general, in coordination with his/her commander, must appoint a sufficient number of inspection team members to conduct the required SUI program inspections. They may use personnel from throughout the wing to assist in the manning of the SUI teams.

1) At no time will an SUI be performed with fewer than two highly qualified inspectors, although three team members is desirable.

2) For inspections of units with a flying program, the team must be comprised of at least one qualified mission pilot. The mission pilot on the team should be well versed in aircraft operations and maintenance, flying safety, and CAP flying directives.

3) For inspections of units with a counterdrug flying program, the team must be comprised of at least one counterdrug qualified mission pilot.

f. The applicable inspection guide developed jointly by the CAP/IG and CAP-USAF/IG will be used to conduct the SUI. Region/wing headquarters may add to subordinate unit inspection guides as appropriate to allow for unique local requirements. However, a SUI shall not be considered complete until all tabs of the inspection guide that apply to the inspected unit have been completed.

1) Should time constraints prevent a complete inspection during a single visit, the remaining inspection items must be completed within 30 days of when the inspection was started.

2) If multiple visits are required to complete the SUI, the date the inspection was started shall be used to calculate the due date for the next SUI.

g. Major Emphasis Items (MEIs) within the flying and safety portion of the inspection must include the following:

1) The unit's flying and ground safety programs to include safety meeting minutes and attendance records.

2) A review of the unit's flying records to include the unit's pilot records.

3) The unit's flight release procedures, to include the appointment and training of FROs, and a review of all CAPFs 99, *CAP Flight Release Log*, that have not already been forwarded to higher headquarters.

4) The maintenance records and general condition of the unit's assigned CAP aircraft.

h. Should a unit receive a repeat finding in a flying or safety MEI on consecutive inspections, the wing commander must reassign all of the unit's corporate aircraft and prohibit all CAP flying under CAPR 60-1 for that unit in corporate and member-owned/furnished aircraft. The National Commander, on recommendation of the region commander may, for good cause shown, grant a waiver or delay to reassignment of aircraft. After a successful reinspection of the unit, a wing commander may return flying privileges to that unit subject to approval of the region commander.

i. Wing commanders should attempt to obtain Air Force funded training missions to transport SUI inspectors. The SUI program requirements must be met regardless of the availability of reimbursement funds.

j. Units will be provided reports outlining the results of their SUIs within 45 days. The inspected unit will forward a reply to all findings to the wing/IG within the suspense established by the wing's SUI program. Submit progress updates on all open responses until the wing/IG closes each finding. Units that fail to close findings in a timely manner may be subject to wing commander action.

k. Any subordinate unit receiving an overall unsatisfactory grade during an inspection should receive another SUI within 180 days of the original inspection.

1) If safety is graded unsatisfactory, the wing commander should ground all flying and/or suspend all vehicle activities of that unit and conduct another SUI of the unit's safety function(s) within 30 to 60 days of the original inspection, with follow-up as necessary.

2) If finance is graded unsatisfactory, the wing commander should take appropriate action in accordance with the guidance in the governing CAP 173 series regulation.

3) If significant equipment/property accountability issues are noted during an SUI, the wing commander will require property recovery/report of survey procedures be completed prior to closing out the unit's SUI report processing procedures. The wing commander should consider appropriate sanctions to ensure compliance.

l. A copy of the SUI report and mandatory responses to findings for units below wing level will be provided to the inspected unit's wing/IG.

m. Wings will retain all SUI reports and mandatory responses to findings for the last two cycles of inspections.

n. All wing programs, resources, and subordinate units are subject to short notice assessments at the discretion of the wing commander.

12. CAP Unit Self-Assessments:

a. Self-assessments, when conducted properly, provide feedback to the commander highlighting areas that require further emphasis. Administrative requirements should not burden managers, but should realistically identify and help resolve deficiencies. Emphasis should be on mission impact problems and fixing root causes.

b. The appropriate inspection guide will be used for region, wing, and local level self-assessments.

c. New directors or commanders should run a self-assessment within 60 days of assuming their respective positions, then annually thereafter.

d. A copy of the self-assessment report should be provided up one level of command (i.e., squadron to group, group to wing, wing to region) so results may be used internally to enhance mission accomplishment.

2 Attachments

1. Inspection/SAV Unit Details and Data
2. Inspection/SAV Reply Format

**INSPECTION AND STAFF ASSISTANCE VISIT
UNIT DETAILS AND DATA**

The following outline covers data usually presented at an assessment in-brief. In the interest of timeliness and not burdening or requiring the CAP wing staff to attend the in-brief, one copy, except where noted, of the following data is to be faxed, mailed or e-mailed to the assessing headquarters/POC NLT 7 days prior to the assessment. In case of back-to-back assessments, the notification letter will specify a compliance date for meeting this requirement to ensure receipt at least 7 days prior to the team departing headquarters.

1. Number of units: groups, squadrons, and flights.
2. Number of members: seniors and cadets.
3. A copy of the wing budget and the amount of any state appropriations.
4. Number of vehicles, last fiscal year (FY) vehicle expense, year-to-date (YTD) vehicle expense.
5. Number of aircraft, last FY aircraft expense and income, YTD aircraft expense and income.
6. Counterdrug flying hours last FY, CD hours YTD, percent of private aircraft CD hours last FY and YTD, amount in the wing's 15 percent CD admin fund.
7. Actual Search and Rescue (SAR) flying hours last FY and YTD, actual ground team hours last FY and YTD.
8. SAR training hours last FY and YTD, both flying and ground.
9. Number of cadet orientation flights last FY and current YTD; the number of individual cadets who were flown on orientation flights last FY and current YTD.
10. Number of current pilots, number of current mission pilots, number of observers.
11. Number and names of Flight Release Officers currently on orders.
12. Number of Subordinate Unit Inspections (SUIs) conducted last calendar year, this YTD. Hard copy results of all inspections should be presented during the Inspections functional area interview.
13. A list of all MOUs under which your wing is operating. Please have hard copies of all MOUs available for the Emergency Services interview.
14. Other items deemed pertinent to the inspection as outlined in the 30-day notification letter to the wing commander.

INSPECTION/SAV REPLY FORMAT

Pick an appropriate address
format based on who
conducted the assessment.

(Use appropriate letterhead)

(Transmittal Date)

MEMORANDUM FOR LOCAL LIAISON REGION/CC (Reply to SAV by Liaison Region)

or

CAP/IG and CAP-USAF/IG (Reply to Inspection by CAP/IG & CAP-USAF/IG Team)

or

LOCAL REGION/CC (Reply to Inspection or SAV by CAP Region Headquarters)

FROM: State CAP Wing/CC

SUBJECT: (Initial or Follow-up) Reply to SAV (Inspection) Report, (Date of SAV/Inspection)

The following corrective actions have been taken relative to findings noted in the subject report:

TAB A-1 AEROSPACE EDUCATION

(Finding) No AE Plan of Action established. Overall director of aerospace education relieved of duties by wing commander due to failing health. New wing AE recruited internal and external AE officers and is currently working AE Plan of Action. Estimated completion date: 30 Nov 02; POC: Colonel Edward Edsel, State CAP Wing/CC, (334) 555-1212.

TAB C-4 AIRCRAFT MANAGEMENT

***(Finding): Aircraft N98428 did not have a cargo net and the items in the aft storage compartment were not secured in any way IAW CAPR 66-1 Para 11f. A new cargo net has been ordered and installed. Completion date: 15 Oct 02; Request finding be closed. POC: Major Sam Smith, State CAP Wing/LGM, (334) 555-9988.**

(If you are still working on correcting the finding during your initial or follow-up reports, list an estimated completion date. If you have completed corrective action at the unit level, recommend closure of the finding. CAP/IG and/or CAP-USAF/IG will formally advise the unit of acceptance of corrective action and approve closure.)

EDWARD R. EDSEL, Colonel, CAP
Commander

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